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1. Overview of the 5311(f) Intercity Bus Grant Program

Introduction

This section contains general information on the Federal Transit Administration's (FTA) 5311(f) Intercity Bus Grant Program. The Intercity Bus Grant Program provides funding assistance to establish, preserve, and enhance rural and small urban intercity transportation. The goals for the program are provided below:

- Support connections between rural and urban areas.
- Support operating services to meet the intercity travel needs of residents in rural and small urban areas
- Support the infrastructure of the state significant intercity bus network through capital investments in facilities, vehicles, and equipment.
- Support a network of intercity bus services and multimodal connections within a national system.
- Support the establishment, enhancement, and preservation of essential intercity bus services on deficient corridors defined by the *Washington Intercity Public Transportation Network Final Report*.

All grants reimburse grantees for the eligible expenses they incur during the project period.

This program provides two types of assistance:

- Capital assistance consisting of an 80 percent federal contribution toward eligible capital purchases. A 20 percent local cash match is required from the applicant.
- Operating assistance, including purchased services, consisting of a 50 percent federal contribution for net expenses of service operations. A local match of 50 percent is required from the applicant.

How much money will be available for grants?

WSDOT expects to have approximately \$570,000 in federal funds for projects in the grant period from January 1, 2002 to June 30, 2003.

What are the limitations and requirements?

To be eligible for funding under the Intercity Bus Grant Program, applicants and projects must meet eligibility requirements. There are also limitations on how the funds may be used and numerous state and federal obligations that must be met during the application and implementation phases. The following types of requirements listed below are described in the following pages:

- Eligibility criteria for applicants
- Eligibility criteria for projects
- Requirements for matching funds
- Requirements that must be met during the application process and project implementation

What types of agencies are the eligible to submit applications?


The following types of organizations are eligible to apply for the Intercity Bus Grant Program funds:

- Public transportation agencies
- Private for-profit transportation service providers
- Tribal governments
- Nonprofit organizations
- Local public bodies (cities, counties, and special districts)

Applicants must also be qualified

As part of the grant application process, applicants must document their willingness to comply with various federal regulations and their ability to implement their proposal if a grant is awarded. For information on how applicants demonstrate their fitness, in Section 3, Preparing for a Grant Application, see instructions for gathering assurances and certifications.

After applications are submitted, WSDOT staff will review each application to ensure the applicant's qualifications and ability to participate in the program. Applications received from organizations who are not clearly qualified will be dropped from further consideration.

 **Note:** The assurances and certifications are due at the time the application is submitted.

What types of projects are eligible?

The *Washington Intercity Public Transportation Network Final Report* identified a statewide intercity, public transportation network of places connected by corridors, and linked by intermodal facilities. The report defines standards for service and facilities on the network. By measuring current intercity services to the standards, deficiencies have been identified. These deficiencies represent the intercity needs

that the Intercity Bus Grant Program will address. To be eligible for assistance under the grant program, projects must serve the general public residing in rural and small urban areas by meeting the network deficiencies. Grants will be available for planning, marketing, vehicle and equipment purchases, construction, and operating assistance.

An eligible applicant may submit two separate applications for independent projects, one of which may be for capital assistance and the other for operating assistance. However, capital and operating projects must be applied for separately. When an organization submits a grant application they will be required to explain how their project meets at least one of the program goals.

Eligible projects for capital assistance

The following types of capital projects are eligible for funding under the Intercity Bus Grant Program:

Vehicles and Equipment

- Wheelchair accessible passenger service vehicles
- Refurbishment of existing vehicles
- Vehicle retrofit for wheelchair lifts
- Replacement parts for passenger service vehicles
- Communications equipment (two-way radios and cellular phones)
- Computer hardware and data systems
- Other equipment such as bicycle racks
- Used vehicles (only if they are identified on the application)

☛ **Note:** Projects submitted by Public Transit Agencies must be included in that agencies current Transit Development Plan (TDP) in order to be eligible for funding.

How must the equipment be used?

All equipment purchased under this program must be used to provide intercity and/or feeder bus passenger transportation to the general public in rural and small urban areas and services outlined in the application.

Eligible operating projects

Generally, to be eligible for operations assistance, projects must serve the general public in rural areas. There are also other requirements for eligibility:

- an open door public access policy must be maintained to the maximum extent possible.
 - services are advertised to the general public.
-

What are the requirements for matching funds?


Required match for capital assistance projects

For capital assistance projects, grantees are required to provide a cash match of 20 percent of the eligible project costs. The funds used for match may not have any restrictions placed on them that would restrict the services provided with the vehicle or place a lien on the equipment. Federal funds are not eligible for match under this program.

Required match for operating assistance projects

For operating assistance projects, including purchased services, grantees are required to contribute a minimum of 50 percent of the net operating expenses (gross expense less fares and donations) for all operating projects. Fares and donations may not be used as match.

Up to one-half of the matching funds may be in-kind contributions or non-USDOT federal support, but at least one half of the matching funds must be cash derived from state, local, or private sources, including profits from contracts. In-kind contributions must also be included as project costs and the value of the services must be documented.

 **Note:** For the purpose of this program, federal funds passed through state social service agencies, such as Medicaid, are not considered to be federal funds and may be used for match.

Fares and donations cannot be used for the match

Passenger fares and donations are not eligible to match federal assistance and must be deducted from the gross expenditures prior to calculating the matching amount.

What are in-kind contributions?

For the purposes of operating projects, in-kind contributions are the value of non-cash charges for real property and equipment, and value of goods and services directly benefiting and specifically identifiable to the project.

What requirements must be met during the application process and project implementation?

Aside from eligibility criteria, numerous federal and state requirements impact the application process as well the project's implementation. This section briefly explains the following requirements:

- Public hearings requirement for capital projects
- Complying with Section 5333(b) Special Warranty (formerly 13c)
- Testing for drug abuse and alcohol misuse
- DBE purchasing efforts (for projects not involving rolling stock)
- Audits for vehicle purchases
- WSDOT will hold title to vehicles
- Accounting and administrative requirements
- Complying with other federal regulations

Public hearings are required for capital projects

All applicants seeking capital assistance must conduct a public hearing in the service area of each capital project. At the hearing, the applicant must describe the scope of its project to the audience and accept any comments about it. The hearing must be completed prior to submitting an application to WSDOT.

The public hearing may take one of two forms:

- an agenda item of the applicant's board of directors business meeting
- a special hearing conducted by the applicant's board of directors or legislative body or staff

Providing notice of the hearing

In either circumstance, the applicant must notify the public of the time, place, and purpose of the hearing with a legal notice in a local newspaper and a mailing to other transportation operators providing service within the service area of the proposed capital project. *This notice must be made at least three weeks in advance.* Appendix D contains a sample legal notice for this hearing.

✎ **Note:** WSDOT's Public Transportation and Rail Division must be notified at least two weeks in advance as to the time and date of the hearing. This must be done in writing, to Ginny Morin in the Public Transportation Office. You may also do this by facsimile, (360) 705-6820, or e-mail, moring@wsdot.wa.gov

Documenting the hearing

To document the hearing the applicant must summarize all comments made at the hearing and record who was present. The hearing minutes, along with a copy of the legal notice, is a **necessary attachment** to any application for capital assistance. Applications received without documentation of the public hearing will not be evaluated and will be returned to the applicant.

Complying with Section 5333(b) Special Warranty (formerly 13c)

Protection of employee rights is a significant aspect of any project. The Section 5333(b) Special Warranty applies to all agencies receiving financial assistance under this program. Employees covered by this labor protection include not only your employees but also those of other providers should their business decline as a result of the services you provide under this grant program. The U.S. Department of Labor requires the successful applicant to protect and provide due process to all affected passenger transportation employees within the project service area. For more information on this requirement, please refer to 49 USC Section 5333(b) and US Department of Labor Guidelines at 29 CFR part 215.

Testing for drug abuse and alcohol misuse

All successful applicants will be required to be in compliance with 49 CFR Parts 40, 653, and 654; and the Drug Free Workplace Act. These regulations mandate that recipients of 5311(f) funding implement drug abuse and alcohol misuse testing of all safety sensitive employees.

When does testing begin?

Grantees will be required to begin testing as of the effective date of the project agreement. Prior to the effective date of the project, grantees must complete all of the following requirements:


- have their drug abuse and alcohol misuse policies approved by WSDOT,
- have these policies adopted by their board, and
- train all affected employees.

There is no supplemental funding for undertaking this requirement, although it is an eligible expense for operating assistance. For sample material and advice about the details of these requirements, contact Barb Savary, Public Transportation Office, 360-705-7926 or savaryb@wsdot.wa.gov

Grantees must make good faith efforts to purchase from DBEs

Each grantee receiving operating assistance and/or funding for non-vehicle equipment are expected to make good faith efforts to purchase from certified disadvantaged businesses enterprises (DBEs);

For more information on purchasing from DBEs, see Section 8, “About Grants for Operating Assistance;”

 **Note:** Organizations who are awarded grants with a combined total in excess of \$250,000 (exclusive of rolling stock) will be required to establish formal DBE goals and policies.

Audits are required for vehicle purchases

Audit prior to awarding a bid

Before a contract can be awarded to a vendor for the purchase of a vehicle, grantees are required to perform an audit of the responsive bidder having the lowest bid price of the specified vehicle; this is called the *pre-award audit*. The pre-award audit may include a trip to the manufacturer. FTA's *Fly America* regulation applies to any overseas trip to a manufacturer.

Audit again following delivery

After the vehicle is received, grantees must conduct a post-delivery audit to insure that the vehicle is in working order, was built to their specifications, and complies with FTA's *Buy America* regulations and *Federal Motor Vehicle Safety Standards*.

For more information on the purchase process and audit requirements, see Section 7 of this guide, "About Purchasing Equipment."

WSDOT will hold title to vehicles

WSDOT must be listed as the legal owner when titling a vehicle purchased under this program. For more information see Section 7 of this guide, "About Purchasing Equipment."

Accounting and administrative requirements

All grantees will be required to comply with the applicable circulars issued by the Federal Office of Management and Budget (OMB).

Complying with other federal regulations

Grantees receiving funds under the 5311(f) Intercity Bus Grant Program must also comply with other federal regulations. The federal regulations include but are not limited to:

- Title VI of the Civil Rights Act
- Non-Discrimination on the Basis of Disability
- School Bus Agreement
- Americans with Disabilities Act (ADA) and public accommodations
- Written Code of Ethics

Will grantees receive assistance in complying with requirements?

Yes. All successful applicants will receive a guidebook, *Guidebook for Managing 49 U.S.C. § 5310 and 49 U.S.C. § 5311 Public Transportation Grants*, when the project agreement is issued. This guidebook assists grant recipients in managing the grant funds and complying with federal regulations.

Need help now?

For questions regarding the program requirements or application process, contact Valerie Rodman at 360-705-7979 or rodmanv@wsdot.wa.gov

2. The Grants Process

What happens when

This section outlines the steps and scheduling as you apply for a grant. The steps and scheduling are also illustrated in Figure 2.1, *What Happens When in the 5311(f) Grant Program*.

For important background information on a grant applications, see Section 3 of this guide, “Preparing for a Grant Application.”

For detailed instructions on the application form, see Section 4 of this guide, “Submitting a Grant Application.”

Applications become available

Applications become available in April 2001 for January 1, 2002 to June 30, 2003 funding.

Capital assistance applicants hold public hearings

All applicants seeking capital assistance are required to hold a public hearing prior to submitting an application.

Remember to give advance notice of your public hearing

Applicants are required to give two types of notice for the public hearing:

- Publish a legal notice at least three weeks in advance (see Appendix B for a sample legal notice).
- Notify WSDOT’s Public Transportation and Rail Division at least two weeks in advance as to the time and date of the hearing. This must be done in writing to Ginny Morin via mail. You may also send your notice by facsimile to (360) 705-6820 or by e-mail to moring@wsdot.wa.gov.

For more detailed instructions, see Section 1, “Overview of the 5311(f) Intercity Bus Grant Program.”

Assurances and certifications are gathered

As part of the grant application, applicants must document their qualifications to implement their proposal. Applicants demonstrate their fitness through completing a series of required *assurances and certifications*. For the requirements, see Section 3, “Preparing for a Grant Application.”

Applications are submitted

Applications for the 5311(f) Intercity Bus Grant Program must be received by WSDOT no later than **5 P.M. on Tuesday, July 31, 2001**. Applications received after that time will not be considered for funding.

Applications are evaluated

All eligible project applications will be evaluated according to the process described in Section 5, "How Grants Are Awarded." After all projects have been evaluated and WSDOT has received the federal allocation, applicants will be notified of their project's status and position on the ranked listing.

Appeals may be submitted

If an application is returned without being considered, applicants may appeal WSDOT's determinations regarding acceptability. For information on how to submit an appeal, see Section 6, "Need Help with an Application?"

Grantees are notified

FTA funds the 5311(f) Grant Program; FTA notifies WSDOT of the amount of the allocation for the following year. Based on the amount of funds allocated and each project's position on the ranked listing, WSDOT prepares a program budget and notifies each applicant as to the results of their application.

Finalists are forwarded to FTA

WSDOT assembles all recommended projects and their costs into a single application and submits it to the Federal Transit Administration (FTA) for approval. FTA must approve each project before any expenses may be incurred or obligated for a project and be eligible for reimbursement.

Project agreements issued

WSDOT and each applicant must execute a project agreement describing the terms and conditions of the project.

Operating projects begin

These projects may begin upon the complete execution of a grant agreement for the project. Generally they will begin in January and end on June 30, 2003. Project expenses will be reimbursed monthly.

Testing for drug abuse and alcohol misuse of safety sensitive employees and their supervisors begins with the projects. All drug abuse and alcohol misuse policies must be adopted by the board and employee training completed prior to the effective date of the project.

Vehicle specifications are developed

Vehicle specifications must be written by the applicant and approved by WSDOT before bids are sought for purchase. These specifications may be completed while the grant agreement for the project is being signed, if not before.

For general information on this process, see Section 7, “About Purchasing Equipment.”

Bid process

All acquisitions over \$25,000 must be made through a structured bid process with the awards made on the basis of lowest responsive bid.

For general information on this process, see Section 7, “About Purchasing Equipment.”

Vehicles are delivered

The more conventional the equipment, the sooner the applicant can expect delivery. Large buses require as long as 12 months from bid award to delivery.

Figure 2.1. What Happens When for Grantees?

Month	J	A	S	O	N	D	J	F	M	A	M	J	J
Applications due	X												
Grants evaluated		X	X										
Grantees notified				X	X								
Projects to FTA					X	X							
Agreements							X	X	X				
Specifications						X							
Bid process							X	X	X	X			
Vans delivered												X	
Buses delivered													X
# of Months						3			6			9	12

Figure 2.1 This chart illustrates the approximate intervals between application for a grant and delivery of vehicles.

Approximate time intervals for applications

- From application to evaluation: 1 month
- From application to forwarding of finalists to FTA—2 months
- Operations assistance projects
 - from application to beginning of project: 5 months
- Capital assistance projects
 - from application to delivery of minibuses: 10+ months
 - from application to delivery of transit buses: 12+ months

3. Preparing for a Grant Application

This section provides background information on how to prepare an application for the Intercity Bus Grant Program. Read this information carefully before completing your grant application.

For detailed instructions of filling out the application form, refer to Section 4 of this guide, “Submitting a Grant Application.”

Requirements for your application

The application process includes several steps that will require advance planning in order for your grant proposal to succeed.

Submit separate applications for different projects

Submit separate applications for independent projects, different service areas and/or different types of equipment (that is, vehicles or non-vehicle).

Coordinate your services and funding

Historically coordination efforts have been the single most persuasive element in an application for financial assistance. Agencies applying for funding are expected to coordinate their services with other transportation providers in their area as well as agencies who may be able to use the services provided by the applicant and/or provide financial assistance for those services.

Your application form will require you to describe your efforts to coordinate your services and funding sources. You will also describe the benefits gained or expected as a result of these efforts; and what coordination efforts your agency will be pursuing in the future.

You may attach supporting documentation

Any letters of support received from these agencies or the general public may be attached to your application. You may also attach service area maps, pictures, or graphs relating to the project described in your application.

A current inventory is required

When applying for an Intercity Bus Grant, your organization is required to submit a Current Passenger Service Vehicle Inventory. Attach the inventory to your application. This is required for both operating and capital applicants.

Planning is very important

To help your project be more competitive, you should include the project in any internal agency plans. In addition, applicants are encouraged to coordinate with city and county planning departments, Regional Transportation Planning Organizations (RTPOs), and Metropolitan Planning Organizations in their area.

✎ **Note:** Public Transit agencies are required to include their project(s) in their Transit Development Plan (TDP) prior to submitting an application for the project(s).

Gathering assurances and certifications

As part of the grant application, applicants must document their willingness to comply with various federal regulations and ability to implement their proposal if a grant is awarded. To demonstrate their fitness, applicants must supply the following *assurances and certifications* with their application.

What documentation is required?

You must submit each of the documents below with your application.


- Current Certificate of Insurance (capital applications only, supplied by your insurance carrier)*
- Certification of Restrictions on Lobbying (applications for \$100,000 or more)
- Certification regarding Procurement Compliance (capital applications only)
- Federal Transit Administration Civil Rights Assurances
- Letter for Acceptance of the Section 5333(b) Special Warranty (formerly 13c)
- WUTC Certificate (non-profit agencies and for-profit firms only)*
- Assurance Concerning Nondiscrimination on the Basis of Disability in Federally Assisted Programs
- Substance abuse certification
- Charter Service Agreement
- School Transportation Agreement
- Buy America
- Certification regarding Debarment, Suspension, and other Responsibility Matters
- Bus testing Certification for new buses (rolling stock only)
- IRS determination letter (Private-Non-Profit Agencies only)*
- Certification of Pre Award and Post Delivery Reviews Required for Acquisition of Rolling Stock (capital applicants only)

How can those forms be obtained?

Forms for most of the certifications and assurances have been provided in Appendix B of this guide. Items marked with an asterisk (*) must be supplied by your agency.

Assurances and certifications are due with the grant

Assurances and certifications are due at the time the grant application is submitted to WSDOT.

 **Note:** Grant applications submitted without assurances and certifications will be returned to the applicant and will not be evaluated.

4. Submitting a Grant Application

This section provides:

- Detailed instructions for filling out the application form for the 5311(f) Intercity Bus Grant Program
- Instructions for assembling your grant application
- Locations where you may submit your application

For information about how your grant will be evaluated, refer to Section 5 of this guide, “How Grants Are Awarded.”

Before filling out the application form

Before filling out the application form, be sure that you have read Section 1, “Overview of the 5311(f) Intercity Bus Grant Program.” Among other information, Section 1 describes eligibility for the grant program.

For guidance on the work that must be done in advance, you should also read Section 3, “Preparing for a Grant Application.”

You may prepare your application electronically

This guide includes a copy of the application form (Appendix A); you may use this form to prepare your application. If you prefer to use an electronic version of the form, contact the Public Transportation Office and ask to have a disc mailed to you.

You may also download the form from the grants section of the Public Transportation Office’s web site at <http://www.wsdot.wa.gov/pubtran>

—However, use paper to submit your application

Applications must be submitted on paper with original signatures. WSDOT will not accept electronic submissions or facsimiles.

Contact us for Help

If you have any questions regarding these explanations or would like assistance in preparing your application, contact Valerie Rodman at 360-705-7979 or e-mail rodmanv@wsdot.wa.gov

Instructions for filling out the application form

This section provides an explanation on how to fill out your application form and some insights on what types of information should be included.

General Information

Legal Name

List your organization's corporate name as on file with the Washington State Secretary of State's Office. If your agency or company has a "doing business as" name, please note this name after the corporate name.

Contact Person

The person in your organization to whom all correspondence, questions, or notifications should be mailed. This person should have first-hand knowledge of the application's content and the services to be provided with the equipment or operating funds requested.

Arrange for an authorized signature

The application must be signed by someone authorized to make assurances of compliance for the applicant, such as the Board Chair, CEO, or delegated authority. Applications signed by unauthorized individuals will not be accepted. Remember that your certifications and assurances must also be signed by an authorized representative(s).

Type of Applicant

Check the box that best describes your organization.

Type of Assistance Requested

Check one box. If applying for more than one type of funding, separate applications must be submitted for each funding category.

Why is the Funding Assistance Needed?

Check mark all applicable boxes. Describe why your agency needs the funding assistance requested in this application. If you are replacing equipment, describe the condition of the equipment and why it should be replaced. If you are requesting equipment to expand your services, explain what steps your agency took to identify need in your service area for expanded services. If you are requesting operations assistance, describe why your agency needs financial assistance for the transportation services you provide or intend to provide. In all cases, you should also explain why local resources are insufficient or unavailable for your project.

Equipment Request

Complete this section only if applying for capital assistance. If applying for operations assistance, this section should be left blank.

Description

- For vehicles, identify the type of vehicle (van, minibus, or bus), passenger capacity, and number of wheelchair tie-down positions (make and model is not applicable).
- If you intend to purchase used vehicles, note this on your application.
- For non-vehicle equipment, such as computers or bus shelters, describe the type of equipment requested.

Replace or Expand

Indicate whether this equipment is to be used for replacement of existing equipment or expansion of services.

Quantity


Enter the number of vehicles or other equipment items you are requesting.

Unit Cost

Enter the estimated price of each vehicle or other equipment item. Prices should be estimated at higher than the current market price as to allow for inflation. Equipment purchases may not be made until a grant is awarded.

Total Cost

Multiply the quantity by the unit cost.

 **Note:** Costs associated with licensing and obtaining a title for the vehicle are not eligible for reimbursement.

Sales Tax

For estimate purposes you should use the sales tax rate charged in your area. If you are a public transit agency, the portion of the local tax rate collected for transit purposes is not eligible for reimbursement, therefore the amount estimated should be reduced by that percentage. Example: The local tax rate in ABC county is 7.9 percent, the transit share of this tax is .3 percent. The sales tax should then be calculated at 7.6 percent.

Pre-award Audit

Enter the estimated cost for one or two people to make a factory visit as required for a vehicle purchase. If your application does not involve vehicles, leave this area blank.

Total

Enter the sum of all project costs.

Local Share

Enter the amount of the local share. There is a minimum required local match, 20 percent of the total project costs.

Federal Share

Enter the amount of the requested federal share. The requested federal share may not exceed 80 percent of the total project cost.

Description of Program or Project

Give a brief description of the service(s) currently provided by the lead agency and the mission of the lead agency.

Describe what the role of the lead agency is and what services it provides.

Describe the proposed project in detail.

For intercity transportation operating projects include a map of the service area that shows the proposed route(s). Operating projects must provide intercity service along a deficient corridor or feeder bus service to a deficient corridor as defined in the state's Intercity Network, including recent updates. Capital assistance for vehicles must be used for service along the state's deficient intercity corridors. Assistance for construction must be used to meet deficient facilities as defined in the Intercity Network.

What intercity bus program goal(s) does this project address?

Refer to Section 1 and enter here which goal(s) this project addresses.

Why is this project needed and what are the expected benefits to rural communities?

Describe how this project benefits residents of rural and small urban communities. How did you learn about the need? Was it through surveys or public meetings?

Does the project provide rural residents with access to other communities for basic services, such as employment; recreational activities; education facilities; and/or social and health resources?

Describe how this service will improve access to basic services.

How does the project address public transportation and access issues in an innovative approach?

Explain how this project is innovative.

Estimate service levels for each year of the project: (Purchased Services Only For 4a-c)

Provide the requested service information.

Which of the above will be used to calculate the unit rate?

Check the applicable box provided.

Describe how the service level estimates were developed.

Explain how your agency determined the level of services you intend to provide.

Management and Experience

Explain what experience this agency has implementing a public transportation project.

Describe your agency's experience in providing passenger transportation. This should include how long you have been providing the services described in Section 2, Question 1a on the application form, as well as other passenger transportation services your agency has provided.

Describe the lead agency's funding.

Explain the sources of funding for the lead agency's budget.

Identify lead personnel for the project including title, role and phone number.

Provide an organizational chart of lead and participating agencies including key personnel in relationship to the project. In addition, briefly describe their knowledge and experience in intercity transportation services.

Describe your agency's preventative maintenance program.

This question applies only to applications for capital assistance. Describe your agency's preventative maintenance steps in regard to the equipment you currently own or operate. Should your application be successful, the department will expect that the maintenance program described will be carried out with the equipment granted to your agency.

What formal training do you provide your drivers and dispatchers?

Describe the type of training provided and how frequently your agency updates the training.

How does this project improve safety?

Describe how this project would improve the safety of its passengers. As an example, purchasing a lift equipped bus to replace an older model would be a safer way to transport disabled passengers.

Does your agency/firm have a safe driving record?

Describe any drivers training the agency provides and give your accident statistics for the past year.

Describe your efforts to identify and meet the transportation needs of persons with disabilities, any concentration of ethnic minority people, and non-English speaking people in the proposed service area.

Describe how your agency identifies the transportation needs of these target groups and how your agency has met or attempted to meet these needs.

What is the profile of the passengers you transported in 1999?

Identify the percentage of all passengers you carried in rural areas as they apply to each group identified in this question.

Does your agency currently have formal Drug Abuse and Alcohol Misuse Testing policies?

Drug abuse and alcohol misuse testing is required for all recipients of 5311(f) program funds. If you need assistance developing these policies and procedures, contact the Public Transportation Office at WSDOT. See Section 1 for more information on this requirement.

Financial Summary

What are the total expenses of your transportation services?

Complete the information requested showing the total cost of operating your passenger transportation services and the total capital expenditures incurred or anticipated to be incurred by your agency in providing the passenger transportation services described in this application.

List the total amount of funds requested and the total project cost.

Enter the amount you are requesting and the total project cost which includes the grant requested and all matching funds.

Show in the table below how the costs will be shared by the lead agency and any partners.

List all revenues received and those that are anticipated to be received by your agency for providing passenger transportation services in the service area described in this application.

Did you have any reserve funds for your transportation services as of December 31, 2000?

Identify the amount of funds retained by your agency in the reserve accounts shown.

What limitations, if any apply to the use of the funds identified above?

If these funds have been restricted or obligated, briefly describe the restrictions that apply to the funds and/or the projects which will require the use of the funds.

☛ **Note to applicants for capital assistance:** If you didn't have any reserve funds, explain how your agency will obtain the required matching funds for the project.

Were you awarded any state or federal grants from WSDOT's Public Transportation Office in a prior year?

Check the box for yes or no and then provide details about grant(s).

Were you awarded a Rural Mobility Grant for the 1999–2001 biennium for the provision of intercity transportation?

If yes, provide details.

Coordination

Identify the entities in your area that you have met with in the last year to develop or coordinate services and funding.

Place a check beside each type of organization your agency has met with in the last year to develop services and/or funding.

Describe the efforts you have made to coordinate with the entities identified above and the outcomes or products of these efforts.

Describe the efforts you made to coordinate your services and funding sources with the entities described in the previous question. Also describe the benefits gained or expected as a result of these efforts. You may also attach any letters of support received from these agencies or the general public.

☛ **Note:** Letters of support should be sent directly to your agency then forwarded to WSDOT along with your application. Letters of support received by WSDOT will not be attached to the applications.

What are your future plans for coordination in regard to service development and funding?

Provide a narrative describing what future efforts will be made by your agency to develop funding sources and coordinate services.

Explain how this project is consistent with state, regional, and/or local plans. Identify the plan(s) and describe how this project addresses the identified planning goals/objectives.

Describe how the project meets objectives within plans. Explain if the project is listed in any planning documents.

☛ **Note to public transit agencies:** This project must be included in your most recent Transit Development Plan (TDP) in order to be eligible for funding.

Describe how the partnerships established with other organizations will assist in this project and how they will enhance coordination.

Describe your financial partnerships with other agencies on this project and explain how coordination will be improved.

How does this project provide connections to other modes? Describe which modes the service connects with and at what facilities the transfers are being made.

Does the project support intercity services and multimodal connections with the state, national, and international intercity network?

Describe if this service provides important corridor intercity service within the state network. Explain if it makes a connection to a larger intercity system that goes across state and/or international borders.

If the project proposes an international connection has it demonstrated how cross border issues will be or have been resolved?

Describe how the project has coordinated transfers across international boundaries.

Does the project serve one of the deficient corridors identified in the Washington Intercity Public Transportation Network?

If yes, describe the corridor and the link it making between which two places.

Does the project provide meaningful links at either end of the service? Please describe.

Instructions for assembling a grant application

When you have filled out your application form, you will assemble your grant application. Several steps are required.

Remember that two attachments are required

- Current passenger service vehicle inventory
- Minutes of the public hearing (required 5311(f) capital assistance only)

Other attachments are allowed

- Service area maps
- Letters of support
- Pictures or graphs which relate directly to the project described in this application.

Use paper to submit your application

Applications must be submitted on paper with original signatures.

WSDOT will not accept electronic submissions or facsimiles. Applications submitted improperly will not be evaluated and will be returned to the applicant.

Final checklist for your application

Before submitting your application, review the contents. Your application must include:

- Your original application with an authorized signature
- Copy of current inventory of passenger service vehicles
- Public hearing minutes (for capital applications)
- Other allowable attachments such as supporting letters
- Eight complete copies of your application and attachments
- Certifications and assurances (with original application only)

When and where to submit your application

The deadline

Submit your completed application by **5 p.m., Tuesday, July 31, 2001.**

☞ **Note:** Applications received after the deadline will not be evaluated and will be returned to the applicant.

Where to submit your application

Your application may be submitted directly to the Public Transportation and Rail Division in Olympia or to any of WSDOT's Regional TransAid Offices. The addresses are listed below.

☞ **Note:** Some TransAid offices close at 4:00 p.m. Applications that are sent via U.S. mail, Federal Express, or UPS, should be sent directly to Ginny Morin at WSDOT's Headquarters Building in Olympia.

Ginny Morin - (360) 705-6985
WSDOT Headquarters Building
310 Maple Park, Room 1A18
P.O. Box 47387
Olympia, WA 98504-7387

Bill Pierce - (360) 905-2215
SW Regional TransAid Service Center
4200 Main Street
Vancouver

Brent Rasmussen - (509) 324-6080
Eastern Regional TransAid Office
3608 Division
Spokane

Stan Delzer - (509) 667-3090
N Central Region TransAid Office
1551 N Wenatchee Avenue
Wenatchee

Roger Arms - (509) 577-1780
South Central Regional TransAid Office
2809 Rudkin Road
Union Gap

Paul Johnson - (206) 440-4711
NW Regional TransAid Office
15700 Dayton Avenue N, Sixth Floor
Seattle

5. How Grants Are Awarded

Criteria for evaluating proposals

WSDOT has established criteria to be used by evaluation committee members when reviewing all proposals. Committee members are advised of this criteria at the time the evaluation materials are distributed to them. The criteria consists of the following:

- demonstrated impact and benefit to residents in rural and small urban areas
- demonstrated coordination
- management and project experience
- the project's financial feasibility and local cost sharing
- enhancements to safety
- demonstrated support of state, national, and international intercity transportation systems

How proposals are rated

The selection process consists of the following steps:

- An evaluation and selection committee is appointed.
 - The committee assembles. Copies of all applications are distributed to them for review along with scoring materials. They are instructed on the program criteria and how the process is performed. A date is established for the completion of the process.
 - Each committee member compares each application to all other applications requesting the same type of funding. This process is described on the following page.
-

How the applications are compared against each other

1. Each application is assigned a number and placed on a grid which pairs it with each of the other applications received. (See example of grid below.)

Sample Scoring Grid

	1	2	3	4	5	6	7	8	9	10
2	1 2	-	-	-	-	-	-	-	-	-
3	1 3	2 3	-	-	-	-	-	-	-	-
4	1 4	2 4	3 4	-	-	-	-	-	-	-
5	1 5	2 5	3 5	4 5	-	-	-	-	-	-
6	1 6	2 6	3 6	4 6	5 6	-	-	-	-	-
7	1 7	2 7	3 7	4 7	5 7	6 7	-	-	-	-
8	1 8	2 8	3 8	4 8	5 8	6 8	7 8	-	-	-
9	1 9	2 9	3 9	4 9	5 9	6 9	7 9	8 9	-	-
10	1 10	2 10	3 10	4 10	5 10	6 10	7 10	8 10	9 10	-

Figure 5.1 This sample grid shows how all grant applications are given numbers and placed on a grid for evaluators to use in scoring.

2. Each evaluator compares application 1 to application 2, chooses the superior proposal and circles the corresponding number on the grid. Application 1 is then compared to application 3 and so on until it has been compared to all other proposals. This step is repeated with all other applications until each evaluator has compared all proposals. (See grid on the following page.)

Sample Scoring Grid Showing Ratings

	1	2	3	4	5	6	7	8	9	10
2	① 2	-	-	-	-	-	-	-	-	-
3	1 ③	2 ③	-	-	-	-	-	-	-	-
4	1 ④	2 ④	③ 4	-	-	-	-	-	-	-
5	1 ⑤	2 ⑤	3 ⑤	4 ⑤	-	-	-	-	-	-
6	① 6	2 ⑥	3 ⑥	④ 6	⑤ 6	-	-	-	-	-
7	1 ⑦	2 ⑦	3 ⑦	④ 7	⑤ 7	6 ⑦	-	-	-	-
8	1 ⑧	2 ⑧	3 ⑧	④ 8	⑤ 8	6 ⑧	7 ⑧	-	-	-
9	① 9	2 ⑨	3 ⑨	④ 9	⑤ 9	6 ⑨	⑦ 9	⑧ 9	-	-
10	① 10	2 ⑩	3 ⑩	④ 10	⑤ 10	⑥ 10	⑦ 10	⑧ 10	⑨ 10	-

Figure 5.2 This sample scoring grid shows how each grant application is compared against all other applications. In each comparison, the favorably rated application is circled.

- The scores are tallied based on the number of times each application was chosen in this process. The evaluation committee then reassembles to discuss their individual scores and come to a consensus on a prioritized list of projects. A recommendation is made to WSDOT for funding based on this prioritized list.

Intercity Bus Program priorities

The Intercity Bus Program uses the forced pairs method, however, there is an extra step in the evaluation process. WSDOT has adopted, on recommendation from the Evaluation Team, a set of priorities.

Operating assistance, including purchased services, priorities are:

- Intercity service along corridors found deficient in the Washington Public Transportation Network have high priority.
- Corridors selected by WSDOT as priority corridors on the network have the highest recognition. *Note: For this upcoming grant cycle WSDOT is not selecting priority corridors.*
- Local feeder services that meet intercity providers are eligible for funding. Local rural providers are also eligible to receive the standard 5311 Grant Program funding.

Priorities for capital projects include the following:

- Intercity facilities that are \$70,000 and under are designated as high priority, while, facilities over \$70,000 have a low priority.
- Capital equipment and vehicles for providers serving the intercity corridors have a medium priority. This program limits the request for each vehicle purchase to \$100,000 and under. Providers offering feeder services are not eligible for capital expenses under this program.

The selection process continues

After projects are rated and prioritized, the selection process continues:

- The prioritized list is reviewed and approved by WSDOT.
- After WSDOT has been notified of the allocation amount for the program, a project budget is developed based on the prioritized list and all applicants are notified as to the results of their application.

For more information on the scheduling and sequence of events in the grants process, see Section 2, “The Grants Process.”

6. Need Help with An Application?

Who to contact

For questions regarding this application guide, contact Valerie Rodman, Grant Programs Branch Manager, at 360-705-7979 or rodmanv@wsdot.wa.gov

Want an electronic file of the grant application?

If you prefer to use an electronic version of the form to prepare your application, contact the Public Transportation Office and ask to have a disc mailed to you.

You may also download the form from the grants section of the Public Transportation Office's web site at <http://www.wsdot.wa.gov/pubtran>

Need help preparing your proposal?

You may also contact Valerie Rodman to request assistance in preparing your application. Members of WSDOT's Public Transportation and Rail Division staff will provide this assistance. Staff members who assist in preparing applications will not participate in the evaluation process of any of the applications.

There is no assurance that WSDOT-assisted applications will compete more favorably than others.

If you want to submit an appeal

Applicants may appeal WSDOT's determinations regarding acceptability of applications. Applicants must submit appeals in writing to:

Public Transportation Office Manager
Public Transportation and Rail Division
Washington State Department of Transportation
P.O. Box 47387
Olympia WA 98504-7387

This appeal must be signed by the board chairperson/CEO and must identify the grounds for the appeal. The appeal must be delivered to the manager within seven calendar days of the applicant's receipt of WSDOT's written notice denying acceptance of its application. The manager will accept a facsimile of the appeal, provided it meets both content and timeliness requirements. Once the manager receives this appeal, the decision and associated procedures will be reviewed. The manager's decision will be final.

7. About Purchasing Equipment

When will grantees receive more information?

After being notified of FTA funding for the 5311(f) Grant Program, each prospective grantee will receive a copy of WSDOT's *Guidebook for Managing 5310 and 5311 Public Transportation Grants*. That document provides detailed instructions for purchasing equipment.

So that grantees may begin planning for equipment purchases, this section provides general information on:

- developing equipment specifications
- seeking bids
- auditing responsive bidders
- how to title vehicles purchased with grant funds

Developing vehicle specifications

To begin developing vehicle specifications, prospective grantees should contact dealers and manufacturers who might sell the category of equipment WSDOT has approved for the prospective grant.

All vehicles must be wheelchair accessible and otherwise be in compliance with vehicle standards of the Americans with Disabilities Act.

Specifications for vehicles (other than minivans) will include FTA's requirement for model testing at its facility in Altoona, Pennsylvania.

Whenever possible, grantees are encouraged to coordinate their specifications and bids with other agencies seeking to purchase the same type of equipment. For more information on coordinated bids, contact Paul Gamble at (360) 705-7912 or e-mail gamblep@wsdot.wa.gov

Need help developing specifications?

WSDOT has sample specifications for vehicles, but these are preliminary—not intended to be sufficiently current or comprehensive for specific applications. On request, the Public Transportation Office will assist grantees in developing vehicle specifications.

When should specifications be developed?

These specifications may be completed while the grant agreement for the project is being signed, if not before. They must be completed by your agency and approved by WSDOT prior to seeking bids for equipment purchases.

Seeking bids

All acquisitions over \$25,000 must be made through a structured bid process with awards made on the basis of lowest responsible bid. For details on the bid process, see *Guidebook for Managing 5310 and 5311 Public Transportation Grants*.

After receiving WSDOT's concurrence in the specifications, as well as the bidding process, prospective grantees request bids for the equipment being sought.

✎ **Note:** Prospective grantees may open bids before executing WSDOT's grant agreement. However, only bids awarded after executing WSDOT's grant agreement are eligible for grant reimbursement.

About used vehicles

If you intend to purchase used vehicles, you must indicate your intentions on the application.

Used vehicles may be acquired once a fair value has been verified by two independent expert appraisers.

Conducting audits

Grantees are required to conduct pre-bid award and post-delivery audits of the responsive bidder having the lowest bid price of the specified vehicle.

Audit prior to awarding a bid

Vehicle purchases are subject to preaward audit by the prospective grantee. Under most circumstances, the audit is an in-person visit to the responsive manufacturer—not the dealer—of the lowest price vehicle bid. This visit verifies the manufacturer's ability to comply with FTA's *Buy America* mandate, *Federal Motor Vehicle Safety Standards (FMVSS)*, and the prospective grantee's own specifications.

Who should travel to perform the audit?

The trip should be made by persons familiar with the specifications and how vehicles work, such as operations supervisors and mechanics.

When should the audit trip be taken?

The trip to conduct the audit trip must occur after executing WSDOT's grant and before the bid award.

Can the expense of the trip be charged to the grant?

The audit trip is eligible for reimbursement under the grant, provided it appropriately occurs after executing WSDOT's grant and before the bid award.

Audit again after delivery

The post delivery audit verifies that the vehicle(s) was built according to the grantees specifications; has no cosmetic or mechanical defects; and is in compliance with bus testing, Buy America, and FMVSS.

How should vehicles be titled?

All vehicles purchased must be titled with the grantee as registered owner and WSDOT as the legal owner/lien holder.

How long does WSDOT hold the title?

WSDOT will release vehicle titles or interest in equipment when the equipment's useful life is reached

WSDOT may release the title earlier if the Grantee wants to surplus the equipment prior to the end of the useful life. However, the grantee is eligible to receive only 20 percent of the current fair market value of the equipment, or the percentage of the grantees contribution to the original project costs. The current fair market value must be determined by an independent appraisal of the equipment.


About the vehicle's useful life

If the equipment's useful life has not been reached when the grantee wants to surplus the equipment, the grantee is eligible to receive only 20 percent of the current fair value of the equipment, or the percentage of the grantees contribution to the project cost. Currently, useful life for certain vehicle categories is described on the following page.

<u>Type of Vehicles</u>	<u>Useful Life</u>
Vans	4 years
Minibuses (4 wheels)	5 years
Minibuses (dual rear wheels) wheelbase up to 158"	6 years
Minibuses (dual rear wheels) wheelbase 159" to 181"	7 years
Small Buses less than 19,000 lbs. GVW	8 years
Buses 19,000 - 24,000 lbs. GVW	9 years
Buses greater than 24,000 lbs. GVW	12 years

What about other types of equipment?

Most other types of equipment fall within the small purchasing procedures (items with a unit cost of less than \$25,000). Grantees will be expected to follow their own purchasing procedures. This must, as a minimum, include obtaining written quotes to determine the most reasonable price.

 **Note:** All grantees purchasing equipment, other than vehicles, will be expected to make good faith efforts to purchase from DBE vendors. See Section 1 for more information on this requirement.

8. About Operating Assistance

When will grantees receive more information?

After being notified of FTA funding for the 5311(f) Grant Program, each prospective grantee will receive a copy of WSDOT's *Guidebook for Managing 5310 and 5311 Public Transportation Grants*.

When can the operating project begin?

Unless otherwise specified by the prospective grantee, grants for operating assistance will be for the grant period from January 1, 2002 to June 30, 2003.

Grantees must make good faith efforts to purchase from DBEs

WSDOT's statewide goal for purchases is 16 percent participation by certified *disadvantaged businesses enterprises* (DBEs). Each grantee is to meet make good faith efforts to purchase from DBE vendors.

Good faith efforts include, but are not limited to:

- Actively seek DBE vendors who are able to supply goods or services to your agency
- Encourage potential DBEs to become certified
- Assist potential DBEs with the certification process

WSDOT requires quarterly progress reports from grantees for complying with the DBE regulations. These reports include the actual amount spent with DBE vendors during the billing period and what efforts the grantee has made to purchase from DBEs.

Before filling out the application form, be sure that you have read the following sections of this guide:

- **Section 3, “Preparing for a Grant Application”**
- **Section 4, “Submitting a Grant Application”**

Section 3, “Preparing for a Grant Application,” provides applicants with important background information and requirements for a grant application.

Section 4, “Submitting a Grant Application,” provides an explanation on how to fill out your application form, some insights on what types of information should be included, how to assemble the application packet, and tells you where and when to submit an application.

Appendix B provides blank forms for some of the assurances and certifications that applicants are required to submit with an application for the 5311(f) Grant Program.

For information on the complete requirements for assurances and certifications, see Section 3, “Preparing for a Grant Application.”

**Sample Letter for Acceptance of the
Section 5333(b) Special Warranty (formerly 13c)**
(Prepared on your agency's letterhead with date)

Ms. Valerie Rodman
Washington State Department of Transportation
Public Transportation Office
P.O. Box 47387
Olympia, Washington 98504-7387

Dear Ms. Rodman:

The (your agency's name) hereby certified that it will comply with all Federal statutes, regulations, Executive Orders, and administrative requirements applicable to its application made to and grants received from the Washington State Department of Transportation under 49 U.S.C. §5311.

In addition, (your agency's name) hereby accepts all of the provisions of the Department of Labor's Special §5333(b) Warranty for Applications to the Small Urban and Rural Program. (Your agency's name)'s transportation employees (are not represented by any union, or, are represented by Local applicable number, union name, and location).

I also enclose a copy of (your agency's name)'s certificate issued by the Washington Utilities and Transportation Commission authorizing transportation services. **(Note: this paragraph does not apply to grantees which are governmental entities.)**

The provisions of 49 U.S.C. §5333(b), 29 CFR PART 215, and Section 1001 of Title 18, U.S.C., apply to all certifications and submissions in connection with applications made to and grants received from 49 U.S.C. §5311.

The (your agency's name) certifies or affirms the truthfulness and accuracy of the contents of the statements and understands that the provisions of 31 U.S.C. §3801 et seq. are applicable thereto.

Sincerely,

(Signature and title of your
agency's board chairperson)

Certification of Compliance
(prepare on your agency's letterhead)

(Date)

Barb Savary
WSDOT
Public Transportation Office
P.O. Box 47387
Olympia, Washington 98504-7387

I, _____, _____, on behalf of
(name) (title)

_____, certify that this agency (has established and
(agency)

implemented/will establish and implement) anti-drug and alcohol misuse prevention programs in
accordance with the terms of 49 CFR part 653 and 654.

Sincerely,

(name)
(title)

Federal Transit Administration Civil Rights Assurances

The _____ HEREBY CERTIFIES THAT, as a condition of receiving Federal financial assistance under 49 USC §5311, it will ensure that:

- No person on the basis of race, color, or national origin will be subjected to discrimination in the level and quality of transportation services and transit-related benefits.
- The _____ will compile, maintain, and submit in a timely manner, Title VI information required by UMTA Circular 4702.1 and in compliance with the Department of Transportation's Title VI regulation, 49 CFR Part 21.9.
- The _____ will make it known to the public that those persons alleging discrimination on the basis of race, color, or national origin as it relates to the provision of transportation services and transit-related benefits may file a complaint with the Federal Transit Administration and/or the U.S. Department of Transportation.

The person whose signature appears below is authorized to sign this assurance on behalf of the grant applicant or recipients.

(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Assurance Concerning Nondiscrimination on the Basis of Disability in Federally Assisted Programs and Activities Receiving or Benefiting from Federal Financial Assistance

As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," at 49 CFR part 27, implementing the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, the Applicant assures that, as a condition to the approval or extension of any Federal assistance awarded by FTA to construct any facility, obtain any rolling stock or other equipment, undertake studies, conduct research, or to participate in or obtain any benefit from any program administered by FTA, no otherwise qualified person with a disability shall be, solely by reason of that disability, excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in any program or activity receiving or benefiting from Federal assistance administered by the FTA or any entity within U.S. DOT. The Applicant assures that project implementation and operations so assisted will comply with all applicable requirements of U.S. DOT regulations implementing the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, at 49 CFR parts 27, 37, and 38, and any applicable regulations and directives issued by other Federal departments or agencies.

Specifically, the _____ HEREBY ASSURES THAT it will conduct any program or operate any facility so assisted in compliance with all applicable requirements imposed by U.S. Department of Transportation regulations implementing the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, and any subsequent amendments, set forth at 49 C.F.R. Parts 27, 37, and 38, as well as all applicable regulations and directives issued pursuant thereto by other Federal departments or agencies.

(Signature of Authorized Official)

Date: _____

(Title of Authorized Official)

Certification Of Restrictions On Lobbying

I, _____, hereby certify on behalf of
(Name of Agency Official)

_____, that:
(Agency's Legal Name)

- No Federally appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension , continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 31, section 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this _____ day of _____, 20_____.

By: _____
(signature of authorized official)

(title of authorized official)

Procurement Compliance

The Applicant certifies that its procurements and procurement system will comply with all applicable requirements imposed by Federal laws, executive orders, or regulations and the requirements of FTA Circular 4220.1D, "Third Party Contracting Requirements," and other implementing requirements FTA may issue. The Applicant certifies that it will include in its contracts financed in whole or in part with FTA assistance all clauses required by Federal laws, executive orders, or regulations, and will ensure that each subrecipient and contractor will also include in its subagreements and contracts financed in whole or in part with FTA assistance all applicable clauses required by Federal laws, executive orders, or regulations.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Bus Testing Certification Required for New Buses

As required by FTA regulations, "Bus Testing," at 49 CFR 665.7, the Applicant certifies that before expending any Federal assistance to acquire the first bus of any new bus model or any bus model with a new major change in configuration or components or authorizing final acceptance of that bus (as described in 49 CFR part 665):

- A. The model of the bus will have been tested at a bus testing facility approved by FTA.
- B. It will have received a copy of the test report prepared on the bus model.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Certification Regarding Debarment, Suspension and Other Responsibility Matters

As required by U.S. DOT regulations on Government wide Debarment and suspension (Non-procurement) at

- I. The Applicant certifies to the best of its knowledge and believe, that and its principals
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal department or agency
 - (b) Have not within a three-year period preceding this proposal have convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connecting with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or Local) with commission of any of the offenses listed in paragraph (2) of this certification.
 - (d) Have not within a three-year period preceding this certification had one or more public transactions (Federal, State, or Local) terminated for cause or default.
- II. The Applicant also certifies that if, later, it becomes aware of any information contradicting the statements of paragraphs (a) through (d) above, it will promptly provide that information to WSDOT.
- III. If the Applicant is unable to certify to the statements within paragraphs (1) and (2) above, it shall indicate so on its Signature Page and provide a written explanation to WSDOT.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

**Certification of Pre-Award and Post-Delivery of Rolling Stock Reviews
Required for Each Applicant Seeking to Purchase Rolling Stock
Financed with Federal Assistance from FTA**

As required by 49 U.S.C. 5323(1), and implementing FTA regulations at 49 CFR 663.7, the Applicant certifies that it will comply with the requirements of 49 CFR part 663, in the course of purchasing revenue service rolling stock. Among other things, the Applicant will conduct or cause to be conducted the prescribed pre-award and post-delivery reviews, and will maintain on file the certifications required by 49 CFR part 663, subparts B, C, and D.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

Charter Service Agreement

- A. As required by 49 U.S.C. 5323(d) and FTA regulations, "Charter Service," at 49 CFR 604.7, the Applicant agrees that it and all its recipients will:
- (1) provide charter service that uses equipment or facilities acquired with Federal assistance authorized 49 U.S.C. 5307, 5309, or 5311 or Title 23 U.S.C., only to the extent that there are no private charter service operators willing and able to provide the charter service that it or its recipients desire to provide, unless one of more of the exceptions in 49 CFR 604.9 applies, and
 - (2) comply with the provisions of 49 CFR part 604 before they provide any charter service using equipment or facilities acquired with Federal assistance authorized for the above statutes.
- B. The Applicant understands that the requirements of 49 CFR part 604 will apply to any charter service provided, the definitions in 49 CFR part 604 apply to this agreement, and violation of this agreement may require corrective measures and the imposition of penalties, including debarment from the receipt of further Federal assistance for transportation.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

School Transportation Agreement

- A. As required by 49 U.S.C. 5323(F) and FTA regulations, "School Bus Operations," at 49 CFR 605.14, the Applicant agrees that it and all its recipients will:
- (1) engage in school transportation operation in competition with private school transportation operators only to the extent permitted by an exception provided by 49 U.S.C. 5323(f), and implementing regulations, and
 - (2) comply with the requirements of 49 CFR part 605 before providing any school transportation using equipment or facilities acquired with Federal assistance authorized by 49 U.S.C. chapter 53 or Title 23 U.S.C. awarded by FTA for transportation projects.
- B. The applicant understands that the requirements of 49 CFR part 605 will apply to any school transportation it provides, the definitions of 49 CFR part 605 apply to this school transportation agreement, and a violation of this agreement may require corrective measures and the imposition of penalties, including debarment from the receipt of further Federal assistance for transportation.

Applicant: _____
(Agency's Name)

By: _____
(Name and title of authorized agency official)

Date: _____

(Signature of authorized agency official)

To apply for a grant, you must have a certificate

To participate in the 5311(f) Grant Program, applicants are required to be certified by the Washington Utilities and Transportation Commission (WUTC) as a ***private non-profit or for-profit transportation provider***.

To qualify as a private non-profit transportation provider, the applicant must file proof of its non-profit status and must provide special needs transportation for compensation.

By law, all private, nonprofit transportation providers who meet the above criteria must obtain a certificate from the WUTC and are subject to WUTC rules and regulations, as published in WAC 480-31, with amendments.

How to apply for a certificate

To apply for a certificate, contact the WUTC for an application packet:

Washington Utilities and Transportation Commission
Regulatory Services--Transportation Operations
P.O. Box 47250
Olympia WA 98504-7250

360-753-3111

What does an application packet contain?

- Application for Certificate
- Safety Fitness Survey
- Tariffs (sample forms)
- WAC 480-31, Rules Relating to Private Non-Profit Transportation Providers, and “Your Guide to Achieving a Satisfactory Safety Record”

Sample Notice for Public Hearing

Appendix D

Public hearings are required only for applications for capital assistance. For information on the public hearings requirement, refer to Section 1 of this guide, "Overview of the 5311(f) Grant Program."

Sample notice

ABC Transit proposes to apply to the Washington State Department of Transportation for \$200,000 from the Federal Transit Administration's 5311(f) Grant Program. These federal funds would help subsidize its costs in purchasing two new diesel powered 16 -22 passenger wheelchair accessible vehicles - one to increase service to meet demand and one to replace an older less reliable minibus.

ABC Transit will hold a public hearing to discuss this proposal, including its need, its economic and social effects, its impact upon the environment, its consistency with local planning, and its relation to other locally offered public passenger transportation. The hearing will begin at 3:00 p.m., local time, Wednesday, June 20, 2001 in Conference Room, ABC Transit, 123 Any Street, Rural City. The hearing site is accessible to the physically disabled.

Written and/or oral statements about this proposal may be made at this hearing.

Interpreters for people with hearing impairments, and Braille or taped information for people with visual impairments can be provided. Please contact the receptionist at the above address or (360) 123-4567 by June 13, 2001.

Intercity Network Deficiencies Map

Appendix E

Current Service Deficiencies Map from the *Washington Intercity Public Transportation Network Final Report*. Note: Applicants may propose updates to the map if new deficiencies on the network occur.

